

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/888,040	06/23/2001	George W. Thompson	123499-1000

Daniel J. Chalker  
Gardere Wynne Sewell LLP  
3000 Thanksgiving Tower  
1601 Elm Street, Suite 3000  
Dallas, TX 75201-4767

DOCKETED

*Missing parts / Corrections to*  
*Due 10/16/01*

FORMALITIES LETTER



\*OC000000006431995\*

CONFIRMATION NO. 7502

Date Mailed: 08/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice MUST be returned with the reply.*

*SR*

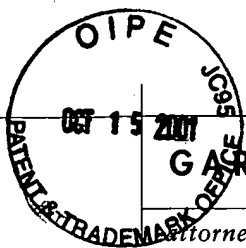
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/18/2001 BNGUYEN1 00000001 09888040

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65.00 OP



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October 9, 2001

BOX: MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Re: Patent Application Entitled: "System and Method for Displaying Trading Trends"  
Application No: 09/888,040  
Filed: June 22, 2001  
Our File No.: 123499-1000

Dear Sir:


Enclosed for filing in connection with the above-referenced patent application are the following documents:

1. Copy of Notice to File Missing Parts of Nonprovisional Application (1 p);
2. Response to Notice to File Missing Parts (2 pp);
3. Declaration and Power of Attorney (3 pp);
4. Check in the amount of \$65.00; and
5. Postcard.

Please file the above-referenced documents and return the date-stamped postcard to our office at the above address. It is believed that no additional fees are due. If this is incorrect, the Commissioner is hereby authorized to charge any fees due which may be required by this paper to Deposit Account No. 07-0153.

In the meantime, if you have any questions or comments concerning any of the above, please call the undersigned at your convenience. Otherwise, please accept the enclosed.

Respectfully submitted,  
GARDERE WYNNE SEWELL LLP

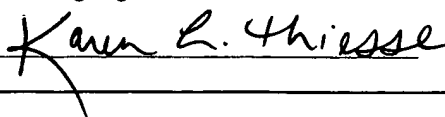
  
Daniel J. Chalker  
Reg. No. 40,552  
DJC/klr:D1063333v1

Enclosures

Date of Deposit: October 9, 2001

I hereby certify that this document is being deposited with the United States Postal Service as First Class Mail in an envelope addressed To: BOX: MISSING PARTS. Commissioner for Patents, Washington, D.C. 20231

Name of Person Signing: Karen L. Thiesse

Signature 



Attorney Docket No. 123499-1000

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Application: George W. Thompson

Application No. 09/888,040

Filed: June 22, 2001

For: SYSTEM AND METHOD FOR DISPLAYING TRADING TRENDS

**BOX: MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

**Certificate of Mailing under 37 CFR 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service, as First Class mail, in an envelope, with sufficient postage, addressed to: **BOX: MISSING PARTS**, Commissioner for Patents, Washington, D.C. 20231 on October 9, 2001.

*Karen L. Thiesse*

Karen L. Thiesse

**RESPONSE TO NOTICE TO FILE**  
**MISSING PARTS OF NONPROVISIONAL APPLICATION**

In response to the Notice to File Missing Parts of Nonprovisional Application mailed, August 16, 2001, a copy of which is returned herewith, Applicant respectfully submits this Response.

**Declaration**

As required by the Notice to File Missing Parts of Nonprovisional Application, Applicant hereby encloses an executed Declaration by the inventor, George W. Thompson.

**Required Fees**

Enclosed is a check in the amount of \$65.00 to cover the late filing fee or oath or declaration surcharge as set forth in 37 C.F. R. § 1.16(e) for a small entity in compliance with 37 C.F.R. § 1.27.

Conclusion

Applicant respectfully submits that all required parts, except for a declaration from a non-cooperating inventor, for the application have now been filed and that no additional fees are required. It is believed that no other fees are necessary. However, if this is incorrect, the Commissioner is hereby authorized to deduct said fees from Deposit Account No. 07-0153.

Respectfully submitted,



Daniel J. Chalker  
Reg. No. 40,522

ATTORNEY FOR APPLICANT

Dated: October 9, 2001

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